

FORM PTO-1390 (Modified) U.S. PATENT AND TRADEMARK OFFICE; U.S. DEPARTMENT OF COMMERCE  
(REV. 2-2005)

**TRANSMITTAL LETTER TO THE UNITED STATES  
DESIGNATED/ELECTED OFFICE (DO/EO/US)  
CONCERNING A SUBMISSION UNDER 35 U.S.C. 371**

ATTORNEY'S DOCKET NUMBER

14399-1US

U.S. APPLICATION NO. (If known, see 37 CFR 1.5)

To be assigned

**10/547530**INTERNATIONAL APPLICATION NO.  
PCT/US04/07434INTERNATIONAL FILING DATE  
10 March 2004PRIORITY DATE CLAIMED  
10 March 2003

TITLE OF INVENTION

VAULT AND VAULT-LIKE CARRIER MOLECULES

APPLICANT(S) FOR DO/EO/US

ROME, Leonard H. et al.

Applicant herewith submits to the United States Designated/Elected Office (DO/EO/US) the following items and other information:

1. ☒ This is a **FIRST** submission of items concerning a submission under 35 U.S.C. 371.
2. ☐ This is a **SECOND** or **SUBSEQUENT** submission of items concerning a submission under 35 U.S.C. 371.
3. ☐ This is an express request to begin national examination procedures (35 U.S.C. 371(f)). The submission must include items (5), (6), (9) and (24) indicated below.
4. ☐ The US has been elected (Article 31).
5. ☒ A copy of the International Application as filed (35 U.S.C. 371 (c)(2))
  - a. ☐ is attached hereto (required only if not communicated by the International Bureau).
  - b. ☐ has been communicated by the International Bureau.
  - c. ☒ is not required, as the application was filed in the United States Receiving Office (RO/US).
6. ☐ An English language translation of the International Application as filed (35 U.S.C. 371(c)(2)).
  - a. ☐ is attached hereto.
  - b. ☐ has been previously submitted under 35 U.S.C. 154(d)(4).
7. ☒ Amendments to the claims of the International Application under PCT Article 19 (35 U.S.C. 371 (c)(3))
  - a. ☐ are attached hereto (required only if not communicated by the International Bureau).
  - b. ☐ have been communicated by the International Bureau.
  - c. ☐ have not been made; however, the time limit for making such amendments has NOT expired.
  - d. ☒ have not been made and will not be made.
8. ☐ An English language translation of the amendments to the claims under PCT Article 19 (35 U.S.C. 371(c)(3)).
9. ☒ An oath or declaration of the inventor(s) (35 U.S.C. 371 (c)(4)).
10. ☐ An English language translation of the annexes to the International Preliminary Examination Report under PCT Article 35 (35 U.S.C. 371 (c)(5)).
11. ☐ A copy of the International Preliminary Examination Report (PCT/IPEA/409).
12. ☒ A copy of the International Search Report (PCT/ISA/210).

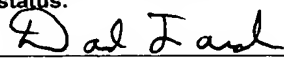
Items 13 to 23 below concern document(s) or information included:

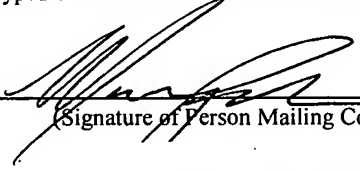
13. ☐ An Information Disclosure Statement under 37 CFR 1.97 and 1.98.
14. ☐ An assignment document for recording. A separate cover sheet in compliance with 37 CFR 3.28 and 3.31 is included.
15. ☒ A **FIRST** preliminary amendment.
16. ☐ A **SECOND** or **SUBSEQUENT** preliminary amendment.
17. ☐ A substitute specification.
18. ☒ A power of attorney and/or change of address letter.
19. ☒ A computer-readable form of the sequence listing in accordance with PCT Rule 13ter.2 and 37 CFR 1.821 - 1.825.
20. ☐ A second copy of the published International Application under 35 U.S.C. 154(d)(4).
21. ☐ A second copy of the English language translation of the International Application under 35 U.S.C. 154(d)(4).
22. ☒ Express Mail Label No. **EV 629341183 US**
23. ☒ Other items or information:

Copy of Published International Patent Application No. WO 2004/081533 A3; Statement in Accordance with 37 CFR 1.821(c) and (e);  
Statement Under 37 CFR 3.73(b); Return Receipt Postcard

U.S. Patent and Trademark Office; U.S. DEPARTMENT OF COMMERCE

Under the Paperwork Reduction Act of 1995, no persons are required to respond to a collection of information unless it displays a valid OMB control number.

U.S. APPLICATION NO. (if known, see 37 CFR 1.5) <b>To be assigned</b>		INTERNATIONAL APPLICATION NO. <b>PCT/US04/07434</b>		ATTORNEY'S DOCKET NUMBER <b>14399-1US</b>	
The following fees are submitted:				<b>CALCULATIONS</b>	<b>PTO USE</b>
24. <input checked="" type="checkbox"/> Basic national fee		\$300		\$	\$300.00
25. <input checked="" type="checkbox"/> Examination fee					
If International preliminary examination report prepared by USPTO and all claims satisfy provisions of PCT Article 33(1)-(4).		\$100		\$	\$200.00
All other situations.		\$200			
26. <input checked="" type="checkbox"/> Search fee					
Search fee (37 CFR 1.445(a)(2)) has been paid on the international application to the USPTO as an International Searching Authority		\$100			
International Search Report prepared and provided to the Office		\$400		\$	\$400.00
All other situations.		\$500			
<b>TOTAL OF 24, 25 and 26 =</b>				\$	\$900.00
<input type="checkbox"/> Additional fee for specification and drawings filed in paper over 100 sheets (excluding sequence listing or computer program listing filed in an electronic medium). The fee is \$250 for each additional 50 sheets of paper or fraction thereof.					
Total Sheets	Extra Sheets	Number of each additional 50 or fraction thereof (round up to a whole)		RATE	
29 - 100 =	0 /50 =	0		x	\$250.00
Surcharge of \$130.00 for furnishing the oath or declaration later than months from the earliest claimed priority date (37 CFR 1.492(e)).				\$	
CLAIMS	NUMBER FILED	NUMBER EXTRA	RATE		
Total claims	66 - 20 =	46	x	\$50.00	\$ \$2,300.00
Independent claims	8 - 3 =	5	x	\$200.00	\$ \$1,000.00
MULTIPLE DEPENDENT CLAIMS (if applicable) <input type="checkbox"/>			+	\$360.00	\$ \$0.00
<b>TOTAL OF ABOVE CALCULATIONS =</b>				\$	\$4,200.00
<input checked="" type="checkbox"/> Applicant claims small entity status. See 37 CFR 1.27. The fees indicated above are reduced by 1/2.				\$	\$2,100.00
<b>SUBTOTAL =</b>				\$	\$2,100.00
Processing fee of \$130.00 for furnishing the English translation later than 30 months from the earliest claimed priority date (37 CFR 1.492(f)).				\$	\$0.00
<b>TOTAL NATIONAL FEE =</b>				\$	\$2,100.00
Fee for recording the enclosed assignment (37 CFR 1.21(h)). The assignment must be accompanied by an appropriate cover sheet (37 CFR 3.28, 3.31). \$40 per property +				\$	\$0.00
<b>TOTAL FEES ENCLOSED =</b>				\$	\$2,100.00
				Amount to be	\$
				Amount to be	\$
a. <input type="checkbox"/> A check in the amount of \$ _____ to cover the above fees is enclosed.					
b. <input checked="" type="checkbox"/> Please charge my Deposit Account No. <u>19-2090</u> in the amount of <u>\$2,100.00</u> to cover the above fees. A duplicate copy of this sheet is enclosed.					
c. <input checked="" type="checkbox"/> The Director is hereby authorized to charge any additional fees which may be required, or credit any overpayment to Deposit Account No. <u>19-2090</u> . A duplicate copy of this sheet is enclosed.					
d. <input type="checkbox"/> Fees are to be charged to a credit card. <b>WARNING:</b> Information on this form may become public. Credit card information should not be included on this form. Provide credit card information and authorization on PTO-2038.					
<b>NOTE:</b> Where an appropriate time limit under 37 CFR 1.495 has not been met, a petition to revive (37 CFR 1.137(a) or (b)) must be filed and granted to restore the International Application to pending status.					
SEND ALL CORRESPONDENCE TO:					
					
SIGNATURE					
David A. Farah, M.D.					
NAME					
38,134					
REGISTRATION NUMBER					

<b>CERTIFICATE OF MAILING BY "EXPRESS MAIL" (37 CFR 1.10)</b>		Docket No. <b>10/547530</b>
371 of International Application No. PCT/US04/07434	International Filing Date 10 March 2004	Priority Date Claimed 10 March 2003
Application No. To be assigned		Filing Date 31 August 2004
Inventor/Applicant(s): ROME, Leonard H.; KICKHOEFER, Valerie A.; RAVAL-FERNANDES, Sujna; and STEWART, Phoebe L.		
Invention: VAULT AND VAULT-LIKE CARRIER MOLECULES		
<p>I hereby certify that the following correspondence:</p> <ol style="list-style-type: none"> <li>1. Transmittal Letter to the United States Designated/Elected Office (DO/EO/US) Concerning a Filing Under 35 U.S.C. 371 (Small Entity) (2 pages)</li> <li>2. Preliminary Amendment (3 pages)</li> <li>3. Combined Declaration and Power of Attorney by Applicants/Inventors Leonard H. ROME, Valerie A. KICKHOEFER, Sujna RAVAL-FERNANDES and Phoebe L. STEWART (4 pages)</li> <li>4. Power of Attorney by Assignee THE REGENTS OF THE UNIVERSITY OF CALIFORNIA (2 pages)</li> <li>5. Statement Under 37 CFR 3.73(b)</li> <li>6. Sequence Listing (429 pages) in Computer Readable Form (1 diskette)</li> <li>7. Statement in Accordance with 37 CFR 1.821(c) and (e) (1 page)</li> <li>8. Copy of International Search Report (4 pages)</li> <li>9. Copy of Published International Application No. WO 2004/081533 A2</li> <li>10. Copy of Written Opinion of International Searching Authority (4 pages)</li> <li>11. Copy of Request for Rectification Under Rule 91.1(d) incl. Substitute Sheet 27</li> <li>12. Acknowledgment of Receipt Postcard</li> </ol> <p>is being deposited with the United States Postal Service "Express Mail Post Office to Addressee" service under 37 C.F.R. § 1.10 in an envelope addressed to: Mail Stop PCT, Commissioner for Patents, P.O. Box 1450, Alexandria, VA 22313-1450</p> <p>on: <u>AUGUST 31, 2005</u>  (Date)</p>		
<p style="text-align: right;">Marilyn Paik  (Typed or Printed Name of Person Mailing Paper or Fee)</p>		
<p style="text-align: right;">   (Signature of Person Mailing Correspondence) </p>		
<p style="text-align: right;"> <b>EV629341183US</b>  ("Express Mail" Mailing Label No. EV 629341183 US) </p>		